

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) STRAUB, CHESTER J.	2. Court or Organization U.S. COURT OF APPEALS, 2ND CIR	3. Date of Report 04/29/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CIRCUIT JUDGE - SENIOR STATUS	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address UNITED STATES COURTHOUSE 500 PEARL STREET NEW YORK, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2014	NYS RETIREMENT SYSTEM (RETIREMENT BENEFIT)	\$6,546.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. **FIDELITY INVESTMENTS**									
2. BERKSHIRE HATHAWAY INC. CLASS B		None	M	T					
3. HEWLETT PACKARD COMMON	B	Dividend	M	T					
4. ENZO BIOCHEM INC COMMON		None	J	T					
5. HEALTH CARE PPTY INVS INC COMMON	C	Dividend	L	T					
6. GREAT PLAINS ENERGY - KANSAS CITY POWER & LIGHT COMMON	A	Dividend	K	T					
7. IBM COMMON	D	Dividend	M	T					
8. GENERAL ELECTRIC COMMON	A	Dividend	J	T					
9. LOCKEED MARTIN COMMON	A	Dividend	K	T					
10. EXXON COMMON	A	Dividend	J	T					
11. EQUITY COMMONWEALTH USD	A	Dividend	J	T					
12. COHEN & STEERS REALTY SHARES	B	Dividend	K	T	Buy (add'l)	03/31/14	J		
13.					Buy (add'l)	06/30/14	J		
14.					Buy (add'l)	09/30/14	J		
15.					Buy (add'l)	12/11/14	J		
16. FIDELITY MUNICIPAL MONEY MARKET	A	Interest	N	T					
17. NEW YORK NY GO BDS SUBERIES 5% BOND	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 5 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

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	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. METROPOLITAN TRANSN AUTH NY 5.5% BOND	C	Interest	L	T					
19. FORTESCUE METALS GROUP LTD COMMON	A	Dividend	J	T					
20. GOLDMAN SACHS GROUP INC COMMON	B	Dividend	L	T					
21. WALMART STORES INC COMMON	A	Dividend	K	T					
22. FIDELITY MUNI MM	A	Interest	M	T					
23. SPDR S&P MIDCAP 400 ETF FUND	A	Dividend	K	T					
24. FIDELITY CONTRAFUND	C	Dividend	L	T	Buy (add'l)	02/07/14	J		
25.					Buy (add'l)	12/12/14	J		
26. FIDELITY LOW PRICED STOCK FUND	D	Dividend	M	T	Buy (add'l)	03/12/14	L		
27.					Buy (add'l)	03/13/14	J		
28.					Buy (add'l)	09/05/14	J		
29.					Buy (add'l)	12/12/14	J		
30. BARRON GROWTH FUND INSTL CLASS	D	Dividend	M	T	Buy (add'l)	03/12/14	L		
31.					Buy (add'l)	12/02/14	J		
32. BLACKROCK EQUITY DIV FUND		None			Sold	03/12/14	M	E	
33. ROYCE TOTAL RETURN FUND	D	Dividend	L	T	Buy (add'l)	03/06/14	J		
34.					Buy (add'l)	06/05/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 14

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STRAUB, CHESTER J.

Date of Report

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	09/04/14	J		
36.					Buy (add'l)	12/17/14	J		
37. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T	Buy (add'l)	12/29/14	J		
38. VANGUARD LIMITED TERM TAX EXEMPT ADMIRAL FUND	A	Interest	J	T	Buy (add'l)	01/31/14	J		
39.					Buy (add'l)	02/28/14	J		
40.					Buy (add'l)	03/31/14	J		
41.					Buy (add'l)	04/30/14	J		
42.					Buy (add'l)	05/30/14	J		
43.					Buy (add'l)	06/30/14	J		
44.					Buy (add'l)	07/31/14	J		
45.					Buy (add'l)	08/29/14	J		
46.					Buy (add'l)	09/30/14	J		
47.					Buy (add'l)	10/31/14	J		
48.					Buy (add'l)	11/28/14	J		
49.					Buy (add'l)	12/31/14	J		
50. BBH CORE SELECT FUND	B	Dividend	L	T	Buy (add'l)	12/15/14	J		
51. DEUTSCHE INTERMEDIATE TAX/AMT FREE FUND	B	Dividend	N	T	Buy	09/09/14	M		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 14

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STRAUB, CHESTER J.

Date of Report

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52.					Buy (add'l)	09/23/14	M		
53.					Buy (add'l)	09/24/14	J		
54.					Buy (add'l)	10/27/14	J		
55.					Buy (add'l)	11/21/14	J		
56.					Buy (add'l)	12/24/14	J		
57. **CITIBANK ACCOUNTS**									
58. CHECKING		None	K	T					
59. **FIDELITY IRA ROLLOVER**									
60. MARSH & MCLENNAN COMMON	B	Dividend	L	T					
61. FIDELITY CASH RESERVES	A	Interest	J	T					
62. S&P MID CAP 400 DEP RCPTS MID CAP SPDRS	B	Dividend	M	T					
63. TWEEDY BROWNE GLOBAL VALUE FUND	D	Dividend	M	T	Buy (add'l)	12/29/14	J		
64. BARON GROWTH FUND	C	Dividend	M	T	Buy (add'l)	03/12/14	L		
65.					Buy (add'l)	12/02/14	J		
66. BLACKROCK GLOBAL ALLOC FUND	E	Dividend	N	T	Buy (add'l)	07/18/14	J		
67.					Sold (part)	10/15/14	N	E	
68.					Buy (add'l)	12/18/14	K		

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FINANCIAL DISCLOSURE REPORT

Page 8 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

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69. ROYCE TOTAL RETURN FUND	D	Dividend	L	T	Buy (add'l)	03/06/14	J		
70.					Buy (add'l)	06/05/14	J		
71.					Buy (add'l)	09/04/14	J		
72.					Buy (add'l)	12/17/14	J		
73. GOOGLE COMMON		None	K	T					
74. GOOGLE CLASS C		None	K	T	Spinoff (from line 73)	04/03/14	K		
75. FIDELITY CONTRAFUND	D	Dividend	M	T	Buy (add'l)	02/07/14	J		
76.					Buy (add'l)	12/12/14	J		
77. IVY ASSET STRATEGY FUND	E	Dividend	M	T	Sold (part)	10/15/14	M	E	
78.					Buy (add'l)	12/11/14	K		
79. BERKSHIRE HATHAWAY INC COMMON		None	M	T					
80. INTEL CORP COMMON	A	Dividend	K	T					
81. JP MORGAN CHASE & CO COMMON	C	Dividend	M	T					
82. MATTHEW'S CHINA FUND	A	Dividend	K	T	Buy (add'l)	12/11/14	J		
83. MORGAN STANLEY GLOBAL LONG/ SHORT FUND	E	Dividend	N	T	Buy (add'l)	12/15/14	K		
84. APPLE INC COMMON	B	Dividend	L	T					
85. BANK OF AMERICA COMMON	A	Dividend	L	T					

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FINANCIAL DISCLOSURE REPORT

Page 9 of 14

Name of Person Reporting

STRAUB, CHESTER J.

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86. CANON INC ADR	A	Dividend	J	T					
87. COMPAGNIE FINANCIERE RICHEMONT ADR	A	Dividend	J	T					
88. WALT DISNEY CO COMMON	A	Dividend	J	T					
89. SCHLUMBERGER LIMITED COMMON	A	Dividend	J	T					
90. SIEMENS AG ADR	A	Dividend	J	T					
91. BLACKROCK EQUITY DIVIDEND FUND		None			Sold	03/12/14	M	E	
92. NOVO NORDISK ADR COMMON	A	Dividend	K	T					
93. HERZFELD CARIBBEAN BASIN FUND INC	C	Dividend	K	T					
94. BBH CORE SELECT FUND CL N	C	Dividend	M	T	Buy (add'l)	12/15/14	J		
95. CEMpra INC COMMON		None	J	T					
96. SPDR S&P 500 ETF TRUST	C	Dividend	M	T					
97. FIDELITY SPARTAN TOTAL MKT INDEX FD	D	Dividend	N	T	Buy (add'l)	04/11/14	J		
98.					Sold (part)	12/05/14	K	C	
99.					Buy (add'l)	12/19/14	J		
100. FIDELITY SPARTAN 500 INDEX FUND ADVANTAGE	C	Dividend	N	T	Buy	10/15/14	N		
101.					Buy (add'l)	12/19/14	J		
102. FIDELITY LOW PRICED STOCK FUND	C	Dividend	L	T	Buy	03/12/14	K		

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FINANCIAL DISCLOSURE REPORT

Page 10 of 14

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103.					Buy (add'l)	03/13/14	J		
104.					Buy (add'l)	09/05/14	J		
105.					Buy (add'l)	12/12/14	J		
106. BLACKROCK STRATEGIC MUNI OPPS INSTL	D	Dividend	O	T	Buy	05/22/14	N		
107.					Buy (add'l)	05/30/14	J		
108.					Buy (add'l)	06/30/14	J		
109.					Buy (add'l)	07/31/14	J		
110.					Buy (add'l)	08/29/14	J		
111.					Buy (add'l)	09/30/14	J		
112.					Buy (add'l)	10/31/14	J		
113.					Buy (add'l)	11/06/14	L		
114.					Buy (add'l)	11/28/14	J		
115.					Buy (add'l)	12/08/14	J		
116.					Buy (add'l)	12/31/14	J		
117. DEUTSCHE INTERMEDIATE TAX/AMT FREE FD INST	A	Dividend	M	T	Buy	11/06/14	M		
118.					Buy (add'l)	11/21/14	J		
119.					Buy (add'l)	12/24/14	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 11 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. **FIDELITY IRA**									
121. FIDELITY CASH RESERVES		None	J	T					
122. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	02/04/14	J		
123.					Sold (part)	12/05/14	J	A	
124.					Buy (add'l)	12/12/14	J		
125. **FIDELITY IRA**									
126. FIDELITY CASH RESERVES	A	Interest	J	T					
127. TWEEDY BROWNE GLOBAL VALUE FUND	B	Dividend	K	T	Buy (add'l)	12/29/14	J		
128. BARON GROWTH FUND	B	Dividend	K	T	Buy (add'l)	12/02/14	J		
129. FIDELITY CONTRAFUND	A	Dividend	J	T	Buy (add'l)	02/07/14	J		
130.					Buy (add'l)	12/12/14	J		
131. BANK OF AMERICA CORP COMMON	A	Dividend	L	T					
132. **MORGAN STANLEY**									
133. MORGAN STANLEY US GOVT MM TRUST	A	Interest	J	T					
134. SOUTH CAROLINA ST PUB AUTH 4.0%	A	Interest			Redeemed	01/02/14	K	A	
135. CHATTANOOGA TENN ELEC REV 5.0%	A	Interest	K	T					
136. NEW YORK NY SER A-1 5.0%	A	Interest	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. HUNTSVILLE ALA RFDG & CAP SER A 4.0%	A	Interest	K	T					
138. MIAMI-DADE CNTY FLA TRAN SYS SER A 5.0%	A	Interest	K	T					
139. CALIFORNIA ST DEPT WTR RES PWR SER L 5.0%	A	Interest	K	T					
140. NY ST DORM AUTH ST PERS 5%	B	Interest	K	T					
141. OREGON ST DEPT ADMINISTRATIVE SERVICES 5%	B	Interest	K	T					
142. LUBBOCK TEX OBLIG WATERWORKS 5%	B	Interest	K	T					
143. SEATTLE WASHINGTON MUN LT & PWR REV BOND	A	Interest	K	T					
144. GEORGIA ST GENL OBLIG BOND	A	Interest	K	T					
145. CHARLOTTE NC GENL OBLIG REF-A	A	Interest	K	T	Buy	04/11/14	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

PART VII LINE 11 - REORGANIZATION OF COMMONWEALTH REIT COMMON ON 08/01/2014, NOW KNOWN AS EQUITY COMMONWEALTH USD

PART VII LINE 73 & 74 - ON APRIL 2, 2014, GOOGLE INC. ISSUED NEW CLASS C SHARES IN THE FORM OF A STOCK DIVIDEND; GOOGLE INC. CLASS A SHARES STOCK TICKER WILL CHANGE FROM GOOG TO GOOGL AND GOOGLE INC. CLASS C SHARES WILL TRADE UNDER THE STOCK TICKER GOOG. SHAREHOLDERS OF GOOGLE INC. CLASS A SHARES RECIEVED ONE SHARE OF GOOGLE INC. CLASS C (GOOG) FOR EACH SHARE OF GOOGLE INC. CLASS A (GOOGL)

FINANCIAL DISCLOSURE REPORT

Page 14 of 14

Name of Person Reporting

STRAUB, CHESTER J.

Date of Report

04/29/2015

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **S/ CHESTER J. STRAUB**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544